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|-----------------------------------------------------------------------------------------|----------------------|------------------------|-------------|
| <b>TRANSMITTAL FORM</b><br><br>(to be used for all correspondence after initial filing) | Application Number   | 10/757,953             |             |
|                                                                                         | Filing Date          | January 15, 2004       |             |
|                                                                                         | First Named Inventor | Carl Frederick Nelson  |             |
|                                                                                         | Art Unit             | 3712                   |             |
|                                                                                         | Examiner Name        | To be assigned         |             |
| Total Number of Pages in This Submission                                                | 9                    | Attorney Docket Number | 94992/00001 |

| ENCLOSURES (check all that apply)                                            |                                                                                 |                                                                                            |
|------------------------------------------------------------------------------|---------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------|
| <input type="checkbox"/> Fee Transmittal Form                                | <input type="checkbox"/> Drawing(s)                                             | <input type="checkbox"/> After Allowance communication to Group                            |
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| <input checked="" type="checkbox"/> Amendment / Reply                        | <input type="checkbox"/> Petition                                               | <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) |
| <input type="checkbox"/> After Final                                         | <input type="checkbox"/> Petition to Convert a Provisional Application          | <input type="checkbox"/> Proprietary Information                                           |
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| <input type="checkbox"/> Response to Missing Parts/ Incomplete Application   |                                                                                 |                                                                                            |
| <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 |                                                                                 |                                                                                            |

| SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT |                                                                                                                     |
|--------------------------------------------|---------------------------------------------------------------------------------------------------------------------|
| Firm or Individual name                    | McCarter & English, LLP<br>Four Gateway Center - 100 Mulberry Street, Newark, NJ 07102<br>By: Paul F. Swift, 34,938 |
| Signature                                  |                                                                                                                     |
| Date                                       | May 11, 2004                                                                                                        |

| CERTIFICATE OF TRANSMISSION/MAILING                                                                                                                                                                                                                                                         |                   |      |              |
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| I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the |                   |      |              |
| Typed or printed name                                                                                                                                                                                                                                                                       | Josephine LoBello |      |              |
| Signature                                                                                                                                                                                                                                                                                   |                   | Date | May 11, 2004 |

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94992-00001

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

re patent application of  
CARL FREDERICK NELSON, ET AL.

Serial No.: 10/757,953

Filed: January 15, 2004

Confirmation No.: 5052

For: SYSTEM AND METHOD FOR  
PROVIDING CUSTOMIZED, EFFECTIVE,  
RISK BASED ETHICS AND  
COMPLIANCE TRAINING AND  
INFORMATION USING A NETWORK

Group Art Unit: 3712

Examiner: To be assigned.

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Amendment, Commissioner for Patents, P.O. Box 1450,  
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*Josephine B. Zelle* 5-11-04  
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X

**Mail Stop Non-Fee Amendment**

Commissioner for Patents

P.O. Box 1450

Alexandria, VA 22313-1450

**AMENDMENT**

Dear Sir:

Please make the following amendments in the above-identified patent  
application.

**Amendments to the Drawings begin on Page 2 of this Amendment.**

Appln. No. 10/757,953

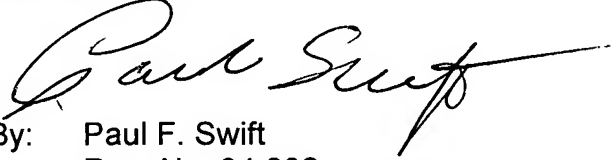
**Amendments to the Drawings:**

The attached six (6) sheets of drawings are formal replacement drawings for Figures 1-6.

No fee is believed to be due in connection with the submission of this Amendment. If fees are due as a result of this Amendment, the Examiner is authorized to charge them to Deposit Account No. 501402.

Respectfully Submitted,

McCARTER & ENGLISH

  
By: Paul F. Swift  
Reg. No. 34,938

100 Mulberry Street  
Newark, NJ 07102  
(973) 622-4444

PFS/sd

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